

Please type a plus sign (+) inside this box → +

PTO/SB/08A (10-96)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
Application Number	Not yet assigned				
Filing Date	August 30, 2001				
First Named Inventor	Shai Ben-Levy et al.				
Group Art Unit	Not yet assigned				
Examiner Name	Not yet assigned				
Attorney Docket Number	3524/30				
Sheet	1	of	3		

11000 U.S. Pat. & Tm. Off.
 09/943442
 08/30/01

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
J A 7 ↓ 02		6,223,167		Alaia et al.	04/24/2001	
		6,161,099		Harrington et al.	12/12/2000	
		6,151,589		Aggarwal et al.	11/21/2000	
		6,131,087		Luke et al.	10/10/2000	
		6,055,518		Franklin et al.	04/25/2000	
		6,035,287		Stallaert et al.	03/07/2000	
		6,029,146		Hawkins et al.	02/22/2000	
		6,021,398		Ausubel	02/01/2000	
		6,014,643		Minton	01/11/2000	
		5,950,177		Lupien et al.	09/07/1999	
		5,924,083		Silverman et al.	07/13/1999	
		5,924,082		Silverman et al.	07/13/1999	
		5,915,209		Lawrence	06/22/1999	
		5,905,975		Ausubel	05/18/1999	
		5,905,974		Fraser et al.	05/18/1999	
		5,845,266		Lupien et al.	12/01/1998	
		5,835,896		Fisher et al.	11/10/1998	
		5,809,483		Broka et al.	09/15/1998	
	5,758,328		Giovannoli	05/26/1998		
	5,724,524		Hunt et al.	03/03/1998		

FOREIGN PATENT DOCUMENTS								
Examiner Initials ²	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
019			WO 00/55775		Van Roon	09/21/2000		
019			GB 2258061A		Jia-Ming Shyu	01/27/1993		

Examiner Signature		Date Considered	2/16/07
-----------------------	--	--------------------	---------

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

² Unique citation designation number. ³ See attached Kinds of U.S. Patent Documents. ⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁷ Applicant is to place a check mark here if English language Translation is attached.

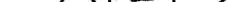
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

+

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

[illegible][illegible]

Examiner Signature		Date Considered	2/16/57
-----------------------	---	--------------------	---------

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**

+



Please type a plus sign (+) inside this box → ☐

PTO/SB/088 (10-98)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	Not yet assigned
				Filing Date	August 30, 2001
				First Named Inventor	Shai Ben-Levy et al.
				Group Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
				Attorney Docket Number	3524/30
Sheet	3	of	3		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
0.18	.	"eCommerce in the U.S. Fixed Income Markets", "The 1999 Review of Electronic Transaction Systems", The Bond Market Association, November 1999. (36 PP)	
	.	"Getting the Word Out to the Right Muni Dealers", Bloomberg, October 1996, page 85, 87	
	.	"Government Bond Trading Made Easy", Bloomberg, June 1999, pages 86-88	
	.	"Bloomberg Financial Markets Commodities News", Bloomberg L.P., 8/1/98 (11 pp)	
	.	"And now-electronic bidding" Grant's Municipal Bond Issuer, Vol. 2, No. 14, July 16, 1998 (4 pp)	
	.	"Innovative Trading in the Nasdaq Marketplace" User Manual, Bloomberg Tradebook Europe Ltd., June 1999	
	.	"Real Bids. Institutional Investors Begin Using Electronic Bond Trading", The Bank of New York Company, Inc. April 8, 1998 (1 pg)	
	.	"Real Bids. The Bank of New York to Acquire Automated Bond Trading System", The Bank of New York Company, Inc. April 19, 1997	
	.	"The Automation of Capital Markets" Arnold Picot, Christine Bortenlaenger and Heiner Roehrl, Institute of Organization, Munich, Germany, Circa 1996 (20 pp)	
	.	"TradeWeb Launches First Multi-Dealer Electronic Trading System for Fixed-Income Securities" EDI Update International The Global Review of Electronic Trade, October 1997, Volume IX, No. 11 (1 pg)	
0A	.	"What Corporate Traders Could Learn from Munis", Bloomberg, September 1993 (pages 16-17)	

Examiner Signature		Date Considered	2/16/07
--------------------	---	-----------------	---------

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.